

531 Rec'd PC 13 SEP 2001

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| FORM PTO-1390  |  | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTORNEY'S DOCKET NUMBER<br>4239-60771                                   |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. § 371   |  |   | U.S. APPLICATION NO. (If known, see 37 C.F.R. § 1.5)<br><b>09/936702</b> |
| INTERNATIONAL APPLICATION NO.<br>PCT/US00/06946  | INTERNATIONAL FILING DATE<br>16 March 2000 | PRIORITY DATE CLAIMED<br>16 March 1999                  |  |
| TITLE OF INVENTION<br>A NOVEL CHIMERIC PROTEIN FOR PREVENTION AND TREATMENT OF HIV INFECTION   |  |   |  |
| APPLICANT(S) FOR DESIGNATION<br>Edward A. Berger, Christie M. Del Castillo   |  |   |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |  |   |  |
| <ol style="list-style-type: none"><li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. § 371.</li><li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. § 371.</li><li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. § 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. § 371(b) and PCT Articles 22 and 39(1).</li><li>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date.</li><li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. § 371(c)(2))<ol style="list-style-type: none"><li>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li><li>b. <input type="checkbox"/> has been transmitted by the International Bureau.</li><li>c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li></ol></li><li>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. § 371(c)(2)).</li><li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. § 371(c)(3))<ol style="list-style-type: none"><li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li><li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li><li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li><li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li></ol></li><li>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. § 371(c)(3)).</li><li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. § 371(c)(4)).</li><li>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. § 371(c)(5)).</li></ol> |  |   |  |
| <b>Items 11. to 16. below concern document(s) or information included:</b>   |  |   |  |
| <ol style="list-style-type: none"><li>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. §§ 1.97 and 1.98, PTO1449, copies of references cited (56).</li><li>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. §§ 3.28 and 3.31 and the Recordal fee of \$40.00 is included.</li><li>13. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.<br/><input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li><li>14. <input type="checkbox"/> A substitute specification.</li><li>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</li><li>16. <input checked="" type="checkbox"/> Sequence Listing:<ol style="list-style-type: none"><li><input checked="" type="checkbox"/> Paper copy (6 pages)</li><li><input checked="" type="checkbox"/> Computer-readable form.</li><li><input checked="" type="checkbox"/> Statement in Compliance.</li></ol></li></ol>   |  |   |  |



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DATE OF DEPOSIT: September 13, 2001

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| U.S. APPLICATION NO. (if known, see 37 C.F.R. § 1.492)<br><b>09/936702</b>  |              | INTERNATIONAL APPLICATION NO.<br>PCT/US00/06946 | ATTORNEY'S DOCKET NUMBER<br>4239-60771 |
| 17. <input checked="" type="checkbox"/> The following fees are submitted:   |              |   | CALCULATIONS (PTO USE ONLY)            |
| <b>BASIC NATIONAL FEE (37 C.F.R. §§ 1.492(a)(1)-(5)):</b><br><br>Neither International Preliminary Examination fee (37 C.F.R. § 1.482) nor International Search fee (37 C.F.R. § 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... <b>\$1,000.00</b><br><br>International Preliminary Examination fee (37 C.F.R. § 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... <b>\$860.00</b><br><br>International Preliminary Examination fee (37 C.F.R. § 1.482) not paid to USPTO but International Search fee (37 C.F.R. § 1.445(a)(2)) paid to USPTO as an International Searching Authority..... <b>\$710.00</b><br><br>International Preliminary Examination fee paid to USPTO (37 C.F.R. § 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... <b>\$690.00</b><br><br>International Preliminary Examination fee paid to USPTO (37 C.F.R. § 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4)..... <b>\$100.00</b> |              |   |  |
| ENTER APPROPRIATE BASIC FEE AMOUNT =  |              |   | \$ 860.00                              |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. § 1.492(e)).  |              |   | \$                                     |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA                                    | RATE                                   |
| Total claims  | 55 - 20 =    | 35  | x \$18.00                              |
| Independent Claims  | 3 - 3 =      | 0   | x \$80.00                              |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |              |   | + \$270.00                             |
| TOTAL OF ABOVE CALCULATIONS =   |              |   | \$ 1,490.00                            |
| <input type="checkbox"/> Reduction of 1/2 for filing by small entity. Small entity status is claimed for this application.  |              |   | \$                                     |
| SUBTOTAL =  |              |   | \$ 1,490.00                            |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 Months from the earliest claimed priority date (37 C.F.R. §§ 1.492(f)).  |              |   | \$                                     |
| TOTAL NATIONAL FEE =  |              |   | \$ 1,490.00                            |
| Fee for recording the enclosed assignment (37 C.F.R. § 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. §§ 3.28, 3.31). \$40.00 per property.  |              |   | \$ 40.00                               |
| TOTAL FEES ENCLOSED =   |              |   | \$ 1,530.00                            |
|   |              |   | REFUND → \$                            |
|   |              |   | CHARGE → \$                            |
| a. <input checked="" type="checkbox"/> A check in the amount of \$ 1,530.00 to cover the above fees is enclosed.  |              |   |  |
| b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.   |              |   |  |
| c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees that may be required, or credit any overpayment, to Deposit Account No. 02-4550. A duplicate copy of this sheet is enclosed.   |              |   |  |
| d. <input checked="" type="checkbox"/> Please return the enclosed postcard to confirm that the items listed above have been received.   |              |   |  |
| NOTE: Where an appropriate time limit under 37 C.F.R. § 1.494 or § 1.495 has not been met, a petition to revive (37 C.F.R. § 1.137(a) or (b)) must be filed and granted to restore the application to pending status.   |              |   |  |
| SEND ALL CORRESPONDENCE TO:   |              |   |  |
| KLARQUIST SPARKMAN, LLP<br>One World Trade Center, Suite 1600<br>121 S.W. Salmon Street<br>Portland, OR 97204-2988  |              |   |  |
| SIGNATURE<br>Tanya M. Harding, Ph.D.<br>NAME<br>42,630<br>REGISTRATION NUMBER   |              |   |  |

cc: Docketing